

# **Alcohol and Other Drug Prevention Models on College Campuses**

**CFDA #84.184N**

Information and Application Procedures for Fiscal Year 2006

OMB No. 1890-0009    Expiration Date: 6/30/2008

**Application Deadline: March 22, 2006**



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**U.S. Department of Education**  
Office of Safe and Drug-Free Schools



## UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF SAFE AND DRUG-FREE SCHOOLS

ASSISTANT DEPUTY SECRETARY

JAN 30 2006

Dear Colleague:

Thank you for your interest in applying for funding under the Alcohol and Other Drug Prevention Models on College Campuses Program.

We know that high-risk drinking and drug use by young people contribute to a number of academic, social and health-related problems. According to the most recent findings from the Monitoring the Future study, the annual prevalence rate of alcohol consumption among the nation's college students is 81 percent and the rate for heavy drinking by college students is 42 percent. In addition, 36 percent have used an illicit drug. Given these alarming statistics, there is a national need to identify effective programs and strategies that reduce or prevent high-risk drinking and drug use among college students.

Funds awarded under this program may be used to identify, enhance, further evaluate and disseminate information about effective alcohol or other drug prevention programs being implemented on college campuses. We hope that other institutions of higher education will use the model programs identified under this competition to strengthen their prevention programs.

We look forward to receiving your application under this grant competition.

Sincerely,

A handwritten signature in black ink, reading "Deborah A. Price", is positioned above the printed name.

Deborah A. Price

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## **I. APPLICATION TRANSMITTAL PROCEDURES**

Applications for grants under the Alcohol and Other Drug Prevention Models on College Campuses Grant Competition must be submitted electronically, unless you qualify for an exception to this requirement in accordance with the instructions in this section.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

### **Application Transmittal Instructions**

**ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition.**

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

### **Electronic Submission is Required**

As outlined in the Federal Register notice for this grant competition, applications must be submitted electronically. You must submit your grant application through the Internet using the software provided on the Grants.gov Web site (<http://www.grants.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. When you submit your application through the Internet via the Grants.gov Web site, you will receive an automatic acknowledgment when we receive your application.

For more information on using Grants.gov, please refer to the Notice Inviting Applications that was published in the Federal Register, the Grants.gov Submission Procedures and Tips document found in the application package instructions, and visit <http://www.grants.gov>.

You may not e-mail an electronic copy to us. We will reject your application if you submit it in paper format unless you qualify for one of the exceptions to the electronic submission requirement described below and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Under mandatory submission, electronic applications must be received by 4:30 pm Washington, DC time on the application deadline date. **Under this new policy, The Department of Education does not allow for any last minute waiver requests from applicants, which is a change from the previous policy for mandatory electronic submission. Consequently, we strongly encourage you to review the registration and submission procedures for the designated electronic application system right away. In addition, we strongly suggest that you do not wait until the deadline date to submit your application.**

**Exception to Electronic Submission Requirement:** You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, by mail or hand delivery, if you are unable to submit an application through the electronic application system designated in the Federal Register notice because—

- You do not have access to the Internet; or
  - You do not have the capacity to upload large documents to the system;
- and
- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date. Address and mail or fax your statement to: Vera Messina, U.S. Department of Education, 400 Maryland Avenue, SW., room 3E258, Washington, DC 20202-6450. FAX: (202) 205-5722. Your paper application must be submitted in accordance with the mail or hand delivery instructions noted below.

For detailed information on the electronic submission requirement for this competition, please refer to the Federal Register notice.

### **Applications Sent by Mail**

If you qualify for an exception to the electronic submission requirement, and may submit your application in paper format, you must mail the original and two copies of the application on or before the deadline date to:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.184N  
400 Maryland Avenue, SW  
Washington, D.C. 20202 - 4260**

To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application. You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service Postmark
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service
- (3) A dated shipping label, invoice, or receipt from a commercial carrier
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

**Special Note: Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; U. S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the instructions for “Applications Delivered by Hand.”**

### **Applications Delivered by Hand**

If you qualify for an exception to the electronic submission requirement, and may submit your application in paper format, you or your courier must hand deliver the original and number of copies requested of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date to:

**U.S. Department of Education  
Application Control Center  
Attention: CFDA # 84.184N  
550 12th Street, SW  
Potomac Center Plaza - Room 7067  
Washington, D.C. 20202-4260**

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and federal holidays.

If you send your application by mail or if you or your courier delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 5 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 04/30/2008)) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

If your application is late, we will notify you that we will not consider the application. To help expedite our review of your application, we would appreciate your voluntarily including an additional copy of your application.

## IMPORTANT

### U.S. Department of Education

### Grants.gov Submission Procedures and Tips for Applicants

Please note that the Grants.gov site works differently than the U.S. Department of Education's (Department) e-Application system. To facilitate your use of Grants.gov, this document includes important submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education.

- 1) **REGISTER EARLY** – Grants.gov registration is a one-time process that may take five or more days to complete. You may begin working on your application while completing the registration process, but you cannot submit an application until all of the Get Started steps are complete. For detailed information on the Get Started Steps, please go to:  
<http://www.grants.gov/GetStarted>.
- 2) **SUBMIT EARLY – We strongly recommend that you do not wait until the last day to submit your application.** Grants.gov will put a date/time stamp on your application and then process it after it is fully uploaded. The time it takes to upload an application will vary depending on a number of factors including the size of the application and the speed of your Internet connection, and the time it takes Grants.gov to process the application will vary as well. If Grants.gov rejects your application (see step three below), you will need to resubmit successfully before 4:30 pm on the deadline date.

**Note: To submit successfully, you must provide the DUNS number on your application that was used when your organization registered with the CCR (Central Contractor Registry).**

- 3) **VERIFY SUBMISSION IS OK** – You will want to verify that Grants.gov and the Department receive your Grants.gov submission timely and that it was validated successfully. To see the date/time your application was received, login to Grants.gov and click on the Check Application Status link. For a successful submission, the date/time received should be earlier than 4:30 p.m. on the deadline date, AND the application status should be: Validated, Received by Agency, or Agency Tracking Number Assigned.

If the date/time received is later than 4:30 p.m. Washington, D.C. time, on the closing date, your application is late. If your application has a status of "Received" it is still awaiting validation by Grants.gov. Once validation is complete, the status will either change to "Validated" or "Rejected with Errors." If the status is "Rejected with Errors," your application has not been received successfully. Some of the reasons Grants.gov may reject an application can be found on the Grants.gov site: <http://www.grants.gov/assets/ApplicationErrorTips.doc>. If you discover your application is late or has been rejected, please see the instructions below. Note: You will receive a series of confirmations both online and via e-mail about the status of your application. Please do not rely solely on e-mail to confirm whether your application has been received timely and validated successfully.

### **Submission Problems – What should you do?**

If you have problems submitting to Grants.gov before the closing date, please contact Grants.gov Customer Support at 1-800-518-4726 or use the customer support available on the Web site:  
<http://www.grants.gov/CustomerSupport>.

If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions

for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

### **Helpful Hints When Working with Grants.gov**

Please note, once you download an application from Grants.gov, you will be working offline and saving data on your computer. Please be sure to note where you are saving the Grants.gov file on your computer. You will need to logon to Grants.gov to upload and submit the application. (This is different from e-Application, where you are working online and saving data to the Department's database.) You must provide on your application the DUNS number that was used when your organization registered with the CCR.

Please go to <http://www.grants.gov/ForApplicants> for help with Grants.gov and click on the links in the lower right corner of the screen under Applicant Tips and Tools. For additional tips related to submitting grant applications, please refer to the Grants.gov Submit Application Tips found on the Grants.gov homepage <http://www.grants.gov>.

### **Dial-Up Internet Connections**

When using a dial up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

### **MAC Users**

If you do not have a Windows operating System, you will need to use a Windows Emulation program to submit an application using Grants.gov. For additional information, review the PureEdge Support for Macintosh white paper published by Pure Edge: [http://www.grants.gov/GrantsGov\\_UST\\_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf](http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf), and/or contact Grants.gov Customer Support (<http://www.grants.gov/CustomerSupport>) for more information. If you do not have a Windows emulation program and electronic submission is required, please follow instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)



## **II. OVERVIEW AND BACKGROUND INFORMATION**

The goals of this competition are to identify models of effective alcohol and other drug (AOD) prevention programs at institutions of higher education (IHEs) and disseminate information about these programs to other colleges and universities where similar efforts may be adopted.

### **Authority**

This competition is authorized under Title IV, Section 4121 of the Elementary and Secondary Education Act (ESEA) as amended by the No Child Left Behind Act of 2001.

### **Note to Applicants**

This is a complete application package for the Alcohol and Other Drug Prevention Models on College Campuses grant competition. Together with the statute authorizing the program and the Education Department General Administrative Regulations (EDGAR) governing the program, this package contains all of the information and instructions needed to apply for this grant.

The official document governing this competition is the Notice Inviting Applications published in the Federal Register on February 9, 2006. This notice also is available electronically at: [www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister) and <http://www.gpoaccess.gov/nara/index.html>

### **Applicable Regulations**

The following regulations apply to the competition described in this application package:

- 34 CFR Part 74 (Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations)
- 34 CFR Part 75 (Direct Grant Programs)
- 34 CFR Part 77 (Definitions that Apply to Department Regulations)
- 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities)
- 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)
- 34 CFR Part 81 (General Education Provisions Act—Enforcement)
- 34 CFR Part 82 (New Restrictions on Lobbying)
- 34 CFR Part 84 (Government-wide Requirements for Drug-Free Workplace (Financial Assistance))
- 34 CFR Part 85 (Government-wide Debarment and Suspension (Nonprocurement))
- 34 CFR Part 86 (Drug and Alcohol Abuse Prevention)
- 34 CFR Part 97 (Protection of Human Subjects)
- 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
- 34 CFR Part 99 (Family Educational Rights and Privacy)
- 34 CFR Part 299 (General Provisions)

### **Eligibility**

Eligible applicants are IHEs that offer an associate or baccalaureate degree. Additionally, to be eligible, an IHE must not have received an award under this grant competition (CFDA 84.184N) during the previous five fiscal years (fiscal years 2001 through 2005).

### **Project Period**

The project period for this grant is 15 months. We intend for the project and budget period for this grant to be June 1, 2006 to August 31, 2007.

### **Estimated Range of Awards**

An estimated 5 new awards will be made. Projects will be funded for approximately \$125,000 to \$175,000, for an estimated average size of \$150,000 per year, depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant. Contingent upon the availability of funds and the quality of the application, we may make additional awards in fiscal year 2007 based on the list of unfunded applications from this competition.

### **Application Due Date**

Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (<http://www.grants.gov>). Applications received by Grants.gov are time and date stamped. Your application must be fully uploaded and submitted, and must be date/time stamped by the Grants.gov system no later than 4:30 p.m., Washington, DC time, on March 22, 2006. See Section I Application Transmittal Instructions for further information. Applications may not be e-mailed or faxed.

Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted.

### **Site Visits**

Applicants with high-scoring proposals will receive a 1-2 day site visit by two peer reviewers. These reviewers may not be the same reviewers who evaluated and scored the proposal. The purpose of the site visits is to provide another source of information about each project. Since the grantees under this program will be recognized as having model programs, and information about their programs will be nationally disseminated, OSDfS conducts site visits to clarify any concerns or questions raised by the first-stage reviewers and confirm the effectiveness of the project. We expect to conduct site visits to high-scoring applicants in April 2006 and expect applicants selected for site visits to be available during that time.

### **E-Mail Addresses**

Please be sure to accurately provide your e-mail address on SF 424. During our review of the budget portion of your application, we may need to contact you with clarifying questions. These contacts may occur during the summer months and will usually happen via e-mail. Please be sure that the e-mail address you provide is accessible by an authorized representative of your organization until the projected date for new awards. If we are unable to reach you, we may make significant cuts to your proposed budget or your application may be dropped from further consideration for funding.

We also will make peer review comments available to you online at the conclusion of the review.

### **Technical Assistance in Preparing Applications**

Any questions related to the requirements of this grant competition should be directed to Vera Messina at 202-260-8273 or Ruth Tringo at 202-260-2838.

Information about applying for grants from the Office of Safe and Drug-Free Schools (OSDFS) is available online at <http://www.ed.gov/admins/grants/apply/techassist/index.html>.

### **D-U-N-S Number Instructions**

All applicants must provide a valid D-U-N-S Number. If you do not have a number, you may obtain one without charge by calling 1-800-333-0505 or by completing a D-U-N-S number Request Form at:

<http://www.dnb.com/us>

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

**Please note that you must have a D-U-N-S number in order to receive a grant award.**

### **III. THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**GOAL 1:** Create a culture of achievement.

**GOAL 2:** Improve student achievement.

**GOAL 3:** Develop safe schools and strong character.

**GOAL 4:** Transform education into an evidence-based field.

**GOAL 5:** Enhance the quality and access to postsecondary and adult education.

**GOAL 6:** Establish management excellence.

The Secretary may choose to develop performance measures for the Alcohol and Other Drug Prevention Models on College Campuses Program in accordance with the GPRA. If indicators are developed, grantees will be asked to provide information that relates to participant outcomes.

In the absence of specific performance indicators, however, grantees are expected to further enhance and implement evaluation plans capable of demonstrating the impact their programs have had on target populations, for example, student behavior changes as a direct result of the program.

## **IV. TIPS FOR APPLICANTS**

### **A. Before you Begin**

- Read this application package carefully and make sure you follow all of the instructions.
- Use the tools we have provided to help you including
  - Frequently Asked Questions in this application package
  - How to apply for a grant on our Web site at:  
<http://www.ed.gov/admins/grants/apply/techassist/index.html>.
- Ask questions of the program contacts if you don't understand how to proceed. Technical assistance will be provided about what is and is not allowable under this program. See Section IX of this application package for program contact information.

### **B. Preparing your Application**

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you have accomplished.
- Organize your application according to the selection criteria and respond comprehensively.
- Provide detailed information addressing all four elements of the absolute priority.
- Make sure your budget narrative provides enough detail about planned expenditures so ED staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

### **C. Submitting your Application**

- Use the checklist provided in this application package to make sure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date, according to the instructions on the Grants.gov Web site.

### **D. What Happens Next?**

- After you electronically submit your application, you will receive an automatic acknowledgement from Grants.gov that contains a Grants.gov tracking number. The Department will retrieve your application from Grants.gov and send you a second confirmation by e-mail that will include a PR/Award number (an ED-specified identifying number unique to your application).
- OSDFS staff screens each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of expert reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your

application will receive a score from 0 to 100 depending upon how well you respond to the requirements of the selection criteria.

- The review of applications and notification of awards for this grant competition requires approximately 10 to 12 weeks. We expect to conduct site visits to high-scoring applicants in April 2006 and expect applicants selected for site visits to be available during that time. Successful applicants are expected to be notified in June 2006.
- A Grant Award Notification will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive information via e-mail on how to get access to peer review comments. Site visit reports will be sent to all applicants who received a site visit. Please be sure your application contains clearly written and accurate e-mail addresses. Copies of peer review comments will not be sent by regular mail.

## **V. PROGRAM-SPECIFIC INFORMATION AND REQUIREMENTS**

### **Reporting Requirements**

All grantees that receive a multi-year award are required to submit an annual report of progress including the effectiveness of the programs and activities funded under the grant. In addition, all grant recipients are required to submit a final report, including financial information, within 90 days of the end of the project period.

### **Grantee Meetings**

Applicants must budget for the Project Director and at least one additional staff member to attend ED's annual National Meeting on Alcohol and Other Drug Abuse and Violence Prevention in Higher Education during their project period. For planning purposes, applicants should include funds for transportation, lodging for four nights and four days, per diem costs, and conference registration fee for this meeting. The 2006 National Meeting will be at the Hyatt Crystal City in Arlington, Virginia, from October 19-22. For more information about this year's National Meeting, visit [www.higheredcenter.org/natl/2006](http://www.higheredcenter.org/natl/2006).

### **Human Subjects Research**

Projects funded under this grant program may be subject to protection of human subjects requirements. Please see the Instructions for ED Supplemental Information for SF 424, in Section X of this application package. If you have any questions about your responsibilities under these requirements, please contact ED's Protection of Human Subjects Coordinator at (202) 245-6153.

### **Expectations of Grantees**

By submitting an application for this program, applicants agree to provide project information upon request to the Department of Education and its contractors. At a minimum, grantees should:

- maintain records on how their program is operating;
- maintain records on the extent to which their program objectives are being met;
- include performance indicators in the evaluation plan described in their proposal; and
- make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period.

Grantees will be expected to share information about their projects with the Department's Higher Education Center or other Department contractors to assist in developing a national publication describing the model programs or for other dissemination efforts. Grantees also may be expected to share information with Department of Education evaluators to assist with national evaluation efforts.

### **Estimated Public Reporting Burden**

According to the Paperwork Reduction Act of 1995, you are not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB No. 1890-0009, Expiration Date: 6/30/2008. The time required to complete this information collection is estimated to average 32 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

### **Contracting for Services**

Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR. (EDGAR is available online at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>; see Section 80.36 for details about these procurement standards.)

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that will be used to provide services for the proposed project.

Consistent with the limitations in Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include a sum for grant writing costs in their grant's proposed budget provided that the amount requested is necessary and reasonable.



## **VI. APPLICATION INFORMATION AND SELECTION CRITERIA**

### **Background**

Recent research confirms that the United States continues to have major problems associated with alcohol and other drug (AOD) use on college campuses. Based on data from the Monitoring the Future study, approximately 42 percent of the nation's college students engaged in heavy drinking (defined as five or more drinks in a row) in the previous two weeks.<sup>1</sup> In the most recent survey data released by the Core Institute, 71 percent of underage students used alcohol and more than 21 percent of all students used an illicit drug within the 30 days prior to taking the survey.<sup>2</sup>

Survey data also indicate that AOD use can result in negative consequences for college students. The Core Institute reports that in the year prior to the survey, more than 34 percent of students had gotten into an argument or fight as a result of their drinking, almost 31 percent reported that they had driven a car under the influence, almost 33 percent reported that they had missed a class because of their drinking, 39 percent reported that they had done "something I later regretted" because of their drinking, and almost 67 percent reported that they had experienced actual physical violence while under the influence of alcohol or other drugs.

Campus-based programs, which include individual, group, and environmental approaches, have been implemented nationwide in an attempt to curb AOD use and its associated negative consequences. Comprehensive prevention approaches that combine individual and group approaches with strategies aimed at changing the physical, social, legal, and economic environment in which students make decisions about AOD use have shown the most promise. Alcohol and other drug use and other health-related behavior is influenced at multiple levels: intrapersonal, interpersonal, institutional, community, and public policy.

The U.S. Department of Education has supported campus- and community-based prevention programs for almost two decades, in response to AOD-related problems on college campuses and in their surrounding communities. Through discretionary grants and dissemination of information on effective strategies through its Higher Education Center for Alcohol and Other Drug Abuse and Violence Prevention, the Department has supported efforts to address these complex problems facing our nation's institutions of higher education. Projects funded by the Department have been based on theory, expert consensus, practical experience, and evaluated programs.

There is a national need to identify effective programs and strategies that address high-risk drinking and drug use among college students. The Department of Education seeks to make the most of its limited funds by supporting projects that can become practical models for replication

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<sup>1</sup> Johnston, L.D., O'Malley, P.M., Bachman, J.G., and Schulenberg, J.E. Monitoring the Future National Survey Results on Drug Use, 1975-2004. Volume II College Students and Adults Ages 19-45. National Institute on Drug Abuse, 2005.

<sup>2</sup> The Core Institute. 2004 Statistics on Alcohol and Other Drug Use on American Campuses. Available online at [http://www.siu.edu/departments/coreinst/public\\_html/](http://www.siu.edu/departments/coreinst/public_html/). Southern Illinois University-Carbondale.

and adaptation in other college communities. The goals of this competition are to identify models of effective campus-based alcohol and other drug prevention programs and disseminate information about these programs to other colleges and universities where similar efforts may be adopted.

Effective programs will show reductions in campus alcohol and other drug use or reductions in AOD-related problems. These programs should have a significant role in developing or maintaining a safe and healthy campus environment. Programs also should be part of a comprehensive approach—a broad, multi-faceted, campus-based strategy focused on AOD prevention. A comprehensive approach is one that combines a range of policies, practices, and programs to address the various factors that influence student behavior, and results in an institution-wide approach to reducing alcohol and other drug problems on campus.

### **National Awards Ceremony**

In addition to receiving a monetary award, representatives of recognized institutions will be invited to attend a national awards ceremony. The Department will publicize the awards and bring national attention to the selected institutions and their programs.

### **National Publication**

Each recognized program and institution will be featured in a publication highlighting the model programs and providing information on how to create safer, healthier campus learning environments.

### **Lessons Learned**

More than a decade of experience with discretionary grant programs has shown that successful projects adapt strategies that are based on sound prevention theory, research, or model programs and practices. The selection of the appropriate strategy must be made based on a strong assessment to identify the existing needs, opportunities, and strengths of the campus and surrounding community.

Prevention and early intervention initiatives should be designed to reduce both individual and environmental risk factors and enhance protective factors in specific populations and settings. There are a number of features that effective prevention programs share. Specifically, they are targeted; designed to effect long-term change; strengthen the natural support systems of family, school, and community; and can document their success in meeting stated goals and objectives.<sup>3</sup>

Institutions of higher education have considerable experience in educational- and individual-based prevention programs on campuses, and these strategies are necessary in order to provide a comprehensive array of prevention programming on campus. However, they are insufficient alone to create systemic, long-lasting change on college campuses. ED is interested in projects that incorporate individual-based strategies into a broader and more comprehensive approach.

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<sup>3</sup> New York State Office of Alcoholism and Substance Abuse Services. Healthy Campus Communities: NYS College Alcohol and Other Drug Abuse Prevention Manual, 2003.

Research strongly supports the use of comprehensive, integrated programs with multiple complementary components that target individuals, including at-risk or alcohol-dependent drinkers; the student population as a whole; and the college and the surrounding community.<sup>4</sup>

The evidence supporting prevention strategies varies, which does not mean that one strategy is better than another. Some strategies have not been as thoroughly studied as others or have not been evaluated for specific application to drinkers in college. The Task Force of the National Advisory Council on Alcohol Abuse and Alcoholism placed prevention strategies in tiers based on the evidence available to support or refute them.<sup>5</sup> Applicants should examine these tiers closely when identifying which strategies they plan to incorporate in their project design.

To strengthen the quality of drug abuse and violence prevention programs implemented with funds from the Office of Safe and Drug-Free Schools, ED established a set of Principles of Effectiveness in 1998, since incorporated into the No Child Left Behind Act of 2001 (Title IV – Section 4115). Although the new statutory requirements do not specifically apply to this grant competition, ED strongly encourages colleges and universities to:

- design programs based on a thorough needs assessment of objective data;
- establish a set of measurable goals and objectives linked to identified needs;
- implement prevention activities that research or evaluation have shown to be effective in preventing high-risk drinking or violent behavior;
- use evaluation results to refine, improve, and strengthen the program and refine goals and objectives as appropriate; and
- include meaningful and ongoing input from parents in the development of the application and implementation of the project.

Basic to the success of any program to prevent drug abuse and violent behavior among college students is the need to ensure the widespread involvement of key stakeholders including students, faculty members, alumni, and community members in the program's design and implementation. Leadership from college and university presidents and other senior administrators is key to institutionalizing prevention as a priority on campus.

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<sup>4</sup> National Institute on Alcohol Abuse and Alcoholism. A Call to Action: Changing the Culture of Drinking at U.S. Colleges. U.S. Department of Health and Human Services, 2002.

<sup>5</sup> See number 4.

## **Absolute Priority**

For FY 2006 and any subsequent year in which we make awards on the basis of the list of unfunded applications from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this absolute priority.

Under this priority the Department provides funding to IHEs that have been implementing effective alcohol and other drug prevention programs on their campuses. An IHE that receives funding under this priority must identify, enhance, further evaluate, and disseminate information about an effective alcohol or other drug prevention program being implemented on its campus.

### **To meet the priority, applicants must provide in their application --**

- (1) A description of an alcohol or other drug prevention program that has been implemented **for at least two full academic years** on the applicant's campus;
- (2) **Evidence of the effectiveness** of the program on the applicant's campus;
- (3) A plan to **enhance and further evaluate** the program during the project period; and
- (4) A plan to **disseminate information to assist other IHEs** in implementing a similar program.

Each section of this priority is explained below.

#### **1. A description of an alcohol or other drug prevention program that has been implemented for at least two full academic years on the applicant's campus.**

To meet this priority, an applicant must describe an alcohol or other drug prevention program that has been implemented on its campus for at least two full academic years (fall through spring semesters or equivalent). The applicant must clearly demonstrate that the alcohol or other drug prevention program proposed as a model program has been implemented for the required time.

#### **2. Evidence of the effectiveness of the program.**

All applicants are required to provide evidence that their program has been effective. It is important to remember that what constitutes convincing evidence of success of a project may differ from one project to the next. Although it is anticipated that applicants may use a variety of both outcome-based and process measures, all applicants must use outcome-based performance indicators.

Ideally, program effectiveness will be linked to data that have been collected prior to the implementation of the program and throughout the duration of the program. The strongest evidence shows a clear link between the program and reductions in alcohol or other drug use. Other supporting evidence may show that the program succeeded in reducing problems resulting from alcohol or other drug use, such as health problems, vandalism, or interpersonal violence. Other evidence may show that the program met an outcome objective that can be linked to eventual reductions in alcohol or other drug use or resulting problems. To this end, submissions

must describe the methods used to evaluate their program, include the instruments used to measure the observed outcomes (or an in-depth description of those instruments) and provide quantitative and qualitative data collected before and after program implementation.

Examples of some possible outcome-based performance indicators include, but are not limited to:

- Changes in rates of students' use of alcohol or other drugs.
- Decreases in the incidence of student-related campus crime and other violations of law or campus policies.
- Changes in reported attitudes about the acceptability of alcohol or other drug use.
- Increases in accurate perceptions of student alcohol or other drug use.
- Changes in alcohol sales and service techniques and policies in social or commercial hosting situations that cater to students.
- Decreases in the overall quantity and frequency of binge drinking.
- Changes in the number of alcohol or other drug and violence-related disciplinary actions.
- Increases in the percentage of individuals who are aware of policies and policy enforcement.
- Changes in the number of reported alcohol or other drug and violence-related incidents or problems. Such changes may include reductions in the number of alcohol or other drug-related student health service visits, deaths, traffic crashes and/or fatalities, property damage, vandalism; in the number of alcohol or other drug and violence-related incidents reported to campus police; and in the extent to which alcohol and other drug use is referenced as a contributing factor in academic performance and attrition rates.

### **3. A plan to enhance and further evaluate the program during the project period.**

The application must specify the institution's plan to enhance and further evaluate their program during the project period. Enhancements may include expanding the number of students served; adding a new strategy for evaluation; or making improvements to the existing program. The applicant should demonstrate how proposed enhancements would build on or improve the existing program. Evaluations should be designed to continue to collect data on existing program elements as well as any program enhancements. Data should be collected on reductions in alcohol or other drug use and AOD-related problems, and other outcome-based indicators that show effectiveness in developing or maintaining a safe and healthy campus environment.

### **4. A plan to disseminate information to assist other IHEs in implementing a similar program.**

The awardees will have effective programs that can serve as models for replication or adaptation by other institutions. The application must describe a dissemination strategy that will provide information to appropriate institutions about the model program, inform them as to how the program might be used on other campuses, and provide materials or enough detailed information so interested campuses can create a similar program. The plan may include such methods as writing articles for appropriate publications, providing consultations at the model institution or at institutions interested in using the model, hosting a conference, utilizing electronic media, or

creating Web sites. Institutions may propose partnering with appropriate national organizations to maximize the reach or impact of their dissemination plan.

### **Selection Criteria**

The following selection criteria will be used to evaluate applications under this competition. The maximum score for all of these criteria is 100 points. For ease of reading by the reviewers, applicants should organize their application in accordance with the sequence of criteria provided below. The criteria contain weighted subcriteria. Applicants must address each subcriterion to qualify for the maximum number of points for each criterion. The maximum score for each criterion is indicated in parentheses.

- 1) Significance - 25 points
- 2) Quality of the Project Design - 35 points
- 3) Quality of the Project Evaluation - 40 points

***Note:** Because this competition seeks to identify model programs that have been operational for at least two full academic years, these selection criteria primarily will be used by reviewers to evaluate an applicant's existing program and the applicant's plan to disseminate information about this program. Secondly, these criteria will be used to evaluate an applicant's plan to enhance and further evaluate this program.*

#### **(1) Significance (25 points)**

In determining the significance of the proposed project, the following factors are considered:

- (a) The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study. (10 points)
- (b) The extent to which the proposed project is likely to yield findings that may be utilized by other appropriate agencies and organizations. (15 points)

*In applying the above criteria, the following information is considered:*

- (1) The feasibility of the program to be replicated or adapted by other campuses;*
- (2) The quality and usefulness of the dissemination plan in encouraging use of program information, strategies, and results by other colleges and universities.*

#### **(2) Quality of the project design (35 points)**

In determining the quality of the design of the project, the following factors are considered:

- (a) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (10 points)

(b) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)

(c) The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project. (10 points)

(d) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

*In applying the above criteria, the following information is considered:*

*(1) The quality of the needs assessment and how well this assessment relates to the goals and objectives of the program.*

*(2) How well the program is integrated within a comprehensive alcohol and other drug prevention effort.*

*(3) The level of institutional commitment, leadership, and support for alcohol and other drug prevention efforts.*

*(4) The clarity and strength of the institution's alcohol or other drug policies and the extent to which those policies are broadly disseminated and consistently enforced.*

*(5) The extent to which students and employees are involved in the program design and implementation process.*

*(6) The extent to which the institution has joined with community leaders to address AOD issues.*

*(7) If applicable, what steps the institution is taking to limit alcoholic beverage sponsorship, advertising, and marketing on campus; and what steps are being taken to establish or expand upon alcohol-free living arrangements for students.*

*(8) If applicable, the extent to which the applicant has undertaken efforts designed to change the culture of college drinking on its campus.*

### **(3) Quality of the project evaluation (40 points)**

In determining the quality of the evaluation, the following factors are considered:

(a) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives and outcomes of the proposed project. (10 points)

(b) The extent to which the evaluation data provide evidence of the effectiveness of the program in reducing either alcohol or other drug use, in reducing the problems resulting from either alcohol or other drug use, or in meeting outcome objectives that are associated with reductions in alcohol or other drug use or resulting problems. (20 points)

(c) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies. (5 points)

(d) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings. (5 points)

*In applying the above criteria, the following information is considered:*

- (1) The quality of the evaluation methodology and evaluation instruments.*
- (2) Whether both process (formative) and outcome (summative) data are included for each year that the program has been implemented, including data collected both before and after initiation of the program.*
- (3) The quality of both the quantitative and qualitative data.*
- (4) How evaluation information has and will be used for continuous improvement of the program.*
- (5) How the evaluation design will assist other campuses that are interested in implementing the program.*



## **VII. APPLICATION CONTENTS**

### **Preparing the Application**

A completed application for assistance under this competition consists of two parts:

- (1) a detailed narrative description of the proposed program and budget, and
- (2) all forms and assurances that must be submitted in order to receive a grant.

A panel of non-federal readers with experience in alcohol and other drug abuse prevention will review each eligible application submitted by the deadline.

The panel will award up to a total of 100 points to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

### **Organizing the Application**

An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. The Department strongly discourages applicants from using “form” applications or proposals that address general rather than specific local needs.

We recommend that applicants organize the information in their application in the following order. All pages should be numbered consecutively to make review and evaluation easier.

#### **1. Application for Federal Assistance (SF 424)**

Use the Application for Federal Assistance (SF 424) and the Department of Education (ED) Supplemental Information for SF 424.

Under item 3 in the ED Supplemental Information, indicate whether the evaluation of proposed activities includes human subjects research, and if so, whether any or all of the proposed activities are exempt. See <http://www.ed.gov/policy/fund/guid/humansub/overview.html>. For additional guidance see instructions for ED Supplemental Information in the required forms section of this package or call ED’s Protection of Human Subjects Coordinator at (202) 245-6153.

#### **2. Table of Contents**

Provide an itemized listing of each section of the application package, including page numbers. Attach this document to the “Project Narrative Attachment Form.”

### **3. Abstract**

Clearly mark this page with the applicant/organizational name as shown in Item 1 of SF 424. The abstract should not exceed one page and should provide a concise and accurate description of the proposed project including its objectives, approaches to be used, and its expected outcomes. Clearly identify the population to be served, including the number of students and the number and name of schools, if applicable. Attach this document to the “ED Abstract Form.”

### **4. Program Narrative**

Narratives should be no more than 25 double-spaced pages in 12-point type. Narratives must contain evidence that the applicant meets all four elements of the absolute priority, and should be organized according to the selection criteria. Attach this document to the “Project Narrative Attachment Form.”

### **5. Budget Form**

Use the Budget Information Form (ED Form 524, Sections A, B, and C, as appropriate) to prepare a budget for the funded project period. Do not substitute local budget categories or accounting codes for the categories on ED Form 524. This information must be entered into the Department’s Grant Administration and Payment System exactly as given on ED Form 524.

**Note:** A budget for a 15-month budget period must be submitted.

### **6. Budget Narrative**

Include a detailed budget narrative that supports and explains the information provided on ED Form 524. Explain the basis used to estimate costs for all budget categories, and how the cost items relate to the proposed project goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the program, reasonable for the scope and complexity of the program, and allowable under the terms and conditions of the grant and in accordance with government cost principles. Attach this document to the “Budget Narrative Attachment Form.”

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project. **Failure to submit a detailed budget narrative may result in significant cuts to your request.**

ED reimburses grantees for its portion of indirect costs that a grantee incurs in projects funded under this competition. Any grantee charging indirect costs to a grant from this program must use the indirect cost rate (ICR), negotiated with its cognizant agency, i.e., either the Federal agency from which it has received the most direct funding, subject to indirect cost support, the particular agency specifically assigned cognizance by the Office of Management and Budget or the State agency that provides the most subgrant funds to the grantee.

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR they are using in their budget.

If an applicant selected for funding under this program has not already established a current ICR with its cognizant agency as a result of current or previous funding, ED will require it to do so within 90 days after the date the grant was issued by ED. Applicants should be aware that ED is very often not the cognizant agency for its own grantees. Rather, ED accepts, for the purpose of funding its awards, the current ICR established by the appropriate cognizant agency.

An applicant that has not previously established an indirect cost rate with the Federal government or a State agency under a Federal program and that is selected for funding will not be allowed to charge its grant for indirect costs until it has negotiated a current indirect cost rate agreement with its cognizant agency.

Applicants are encouraged to use their accountant (or CPA) to calculate an indirect cost rate using information in the IRS Form 990, audited financial statements, actual cost data or a cost policy statement that such applicants are urged to prepare (but NOT submit to ED) during the application process.

Applicants should use this proposed rate in their application materials and indicate which of the above methods was used to calculate the rate. Guidance for creating a cost policy statement can be obtained by sending an e-mail to [katrina.mcdonald@ed.gov](mailto:katrina.mcdonald@ed.gov).

Applicants with questions about using indirect cost rates under this program should contact the program contact persons shown elsewhere in this application package.

## **7. Appendices and Forms**

Information provided in this section includes forms and other material required by ED in order for an application to be eligible for funding as well as any other information that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project.

The following items are not part of the appendices and may **not** be included:

- budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria--all such information must be included in the narrative portion of the application; and
- videotapes, CD-ROMs, photographs or floppy disks--they will not be reviewed and we will not return them.

This section **must** include the following:

### **1. Assurances/Certifications**

- Assurances, Non-Construction Programs (Standard Form 424B)
- Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions (ED Form 80-0014)

2. Letter of transmittal to State Single Point of Contact (if your state participates). See Section VIII. Intergovernmental Review of Federal Programs for complete information. Attach this information to the “Other Attachments Form.”

3. Proof of federally negotiated indirect cost rate (see pages 26-27 and 34), as applicable (if you are claiming indirect costs). Attach this information to the “Other Attachments Form.”

This section may include the following (attach this information to the “Other Attachments Form.”):

1. Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:
  - Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
  - Letters of commitment that reflect each person’s understanding of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
  - Relevant prior grant experience.

### **General Education Provisions Act (GEPA) Section 427**

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

**NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.**

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that

may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to it to eliminate barriers it identifies.

## **Examples**

The following examples help illustrate how an applicant may comply with section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it tends to conduct "outreach" efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

## **Paperwork Burden Statement for GEPA 427**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, 400 Maryland Avenue, SW, Washington, DC 20202-6450.

## **VIII. INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS**

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the state's process under Executive Order 12372. Applicants proposing to perform activities in more than one state should immediately contact the Single Point of Contact for each of those states and follow the procedure established in each state under the Executive Order. The name and address of each State Single Point of Contact is listed below. ***Note: A copy of the applicant's letter to the State Single Point of Contact must be included with the application.***

In states that have not established a process or chosen a program for review, state, area-wide, regional, and local entities may submit comments directly to the Department.

Any state process recommendation and other comments submitted by a State Single Point of Contact and any comments from state, area-wide, regional, and local entities must be received by May 22, 2006, at the following address: The Secretary, EO 12372—CFDA #84.184N, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on May 22, 2006. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If you are located within one of these states, you are exempt from this requirement.

### **State Single Points of Contact**

#### **ARKANSAS**

Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and Administration  
1515 West 7<sup>th</sup> Street, Room 412  
Little Rock, AR 72203  
Phone: 501/682-1074  
Fax: 501/682-5206  
E-mail: [tracy.copeland@dfa.state.ar.us](mailto:tracy.copeland@dfa.state.ar.us)

#### **CALIFORNIA**

Grants Coordination  
State Clearinghouse  
Office of Planning and Research  
P.O. Box 3044, Room 222  
Sacramento, CA 95812-3044  
Phone: 916/445-0613  
Fax: 916/323-3018  
E-mail: [state.clearinghouse@opr.ca.gov](mailto:state.clearinghouse@opr.ca.gov)

**DELAWARE**

Ellen P. McDowell  
Federal Aid Coordinator  
Office of Management and Budget  
540 South Dupont Highway, 3<sup>rd</sup> Floor  
Dover, DE 19901  
Phone: 302/739-3327  
Fax: 302/739-5661  
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**DISTRICT OF COLUMBIA**

Marlene Jefferson  
DC Government Office of Partnerships and  
Grants Development  
414 4<sup>th</sup> Street, NW  
Washington, DC 20001  
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Fax: 202/727-1652  
E-mail: marlene.jefferson@dc.gov

**FLORIDA**

Lauren P. Milligan  
Florida State Clearinghouse  
Florida Department of Environmental Protection  
3900 Commonwealth Boulevard  
Mail Station 47  
Tallahassee, FL 32399-3000  
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Fax: 850/245-2190  
E-mail: lauren.milligan@dep.state.fl.us

**GEORGIA**

Barbara Jackson  
Georgia State Clearinghouse  
270 Washington Street, SW, 8<sup>th</sup> Floor  
Atlanta, GA 30334  
Phone: 404/656-3855  
Fax: 404/656-7916  
E-mail: gach@mail.opb.state.ga.us

**ILLINOIS**

Roukaya McCaffrey  
Department of Commerce and  
Economic Opportunities  
620 East Adams, 6<sup>th</sup> Floor  
Springfield, IL 62701  
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Fax: 217/558-0473  
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**IOWA**

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Iowa Department of Management  
State Capitol Building, Room G12  
1007 East Grand Avenue  
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Fax: 515/242-5897  
E-mail: kathy.mabie@iowa.gov

**KENTUCKY**

Ron Cook  
The Governor's Office for Local Development  
1024 Capital Center Drive, Suite 340  
Frankfort, KY 40601  
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Fax: 502/573-2512  
E-mail: ron.cook@ky.gov

**MAINE**

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Fax: 207/287-6489  
E-mail: joyce.benson@state.me.us

**MARYLAND**

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Director, Maryland State Clearinghouse for  
Intergovernmental Assistance  
301 West Preston Street, Room 1104  
Baltimore, MD 21201-2305  
Phone: 410/767-4490  
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535 Griswold, Suite 300  
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**MISSISSIPPI**

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Clearinghouse Officer  
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1301 Woolfolk Building, Suite E  
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**MISSOURI**

Sara VanderFeltz  
Federal Assistance Clearinghouse  
Office of Administration  
Commissioner's Office  
Capitol Building, Room 125  
Jefferson City, MO 65102  
Phone: 573/751-0337  
Fax: 573/751-1212  
E-mail: sara.vanderfeltz@oa.mo.gov

**NEVADA**

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**NEW YORK**

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**WISCONSIN**

Division of Intergovernmental Relations  
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 101 East Wilson Street, 10<sup>th</sup> Floor  
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**AMERICAN SAMOA**

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 Office of Federal Programs/  
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Note: This list is based on the most current information provided by the states. Changes to this list can be made only after OMB is notified by a state's officially designated representative. E-mail messages can be sent to ephillips@omb.eop.gov. If you prefer, you may send correspondence to the following postal address: Attn: Grants Management, Office of Management and Budget, New Executive Office Building, Suite 6025, 725 17<sup>th</sup> Street, NW,

**GUAM**

Director  
 Bureau of Budget and Management Research  
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**VIRGIN ISLANDS**

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 E-mail: irmills@usvi.org

Washington, DC 20503. Note: Inquiries about obtaining a federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (www.cfda.gov) and the Grants.gov Web site (www.grants.gov).

## **IX. FREQUENTLY ASKED QUESTIONS**

### **What steps can I take to maximize my chances of receiving a grant?**

- Before preparing your application, read the application package carefully and completely.
- Follow all of the instructions exactly.
- If you're uncertain about any aspects of this application package, contact the competition managers for clarification.
- Absolute priorities establish the parameters for applications under a grant competition. If your application does not meet all four areas of the absolute priority for this grant competition, it will not be considered for funding.
- A panel of three persons from the alcohol and other drug abuse prevention fields will review your application. Be sure to organize your application clearly, provide requested information in a comprehensive manner, and respond to each selection criterion thoroughly. Reviewers are not allowed to give you "the benefit of the doubt"; therefore, if it is not in your application, they cannot award points for it.
- Be sure that your application includes a budget request (ED Form 524) and complete narrative justification for the project period.
- Be sure to submit your application on or before the deadline date of March 22, 2006.

### **What is an indirect cost rate?**

An indirect cost is an expense that you incur that is necessary to implementing the grant, but may be difficult to identify with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

If your organization prefers to use all of its grant funds for direct project costs, you are not required to charge the grant for indirect costs. If you wish to charge indirect costs, however, you must use a federally negotiated indirect cost rate for this competition.

The indirect cost rate is the negotiated rate between the applicant and cognizant federal agency. For the majority of institutions of higher education, the cognizant federal agency will be the Department of Health and Human Services (in other cases, it may be the Department of Education, Department of the Interior, or the Office of Naval Research).

For more information, please visit <http://www.ed.gov/about/offices/list/ocfo/fipao/abouticg.html>.

### **Is there a restricted indirect cost rate for this program?**

No. Applicants may use their full negotiated indirect cost rate.

**For my GEPA 427 statement (see page 28), is it adequate to state that our organization does not discriminate on the basis of race, religion, sex, etc.?**

No. An organization's non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline an entity's potential barriers and solutions to equal access.

**What kinds of activities are likely to be "human subjects research"?**

ED's regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A "systematic" investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Research becomes "human subjects" research when the researcher obtains data about an individual through an intervention or otherwise obtains identifiable private information about individuals for research purposes. For additional information on human subjects research go to:

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>

**If "human subjects research" activities are planned, what should the applicant do?**

Grants under this program that involve nonexempt human subjects research will need to obtain a federal wide assurance to abide by the Department's regulations for protection of human subjects in research and be reviewed by an Institutional Review Board (IRB) before beginning non-exempt activities. An IRB is a special panel responsible for protecting the rights and welfare of human research subjects. Studies of alcohol and other drug abuse reduction programs may fit the definition of "research" by some agencies under a Federal policy governing human subjects if they are designed so that the findings transcend the study site or population studied and it contributes to the development of new knowledge about what works (and how) in alcohol and other drug abuse reduction. While not every program will require IRB review, applicants should consult early on with someone knowledgeable in the field of human subjects research to determine whether or not the project requires IRB review.

A registry of Institutional Review Boards is available online at the Department of Health and Human Services' Office for Human Research Protection website, <http://ohrp.cit.nih.gov/search/asearch.asp#ASUR>. Applicants whose programs require review by an IRB should budget appropriate costs into their application. If an applicant fails to budget ahead of time for IRB review and then discovers later that IRB approval is needed, no additional grant funds will be awarded for the review. For additional information about human research subjects and the need for IRB approval, please reference the Department of Education's website for Grants Policy and Oversight Staff at: <http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

If you have any questions about your responsibilities under these requirements, you may contact ED's Protection of Human Subject Coordinator at (202) 245-6153.

**How does the Freedom of Information Act affect my application?**

The Freedom of Information Act (FOIA) was enacted in 1966 and provides the right to request access to federal agency records or information. All agencies of the U.S. Government are required to disclose records upon receiving a written request for them, except for those records

that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit [www.usdoj.gov/04foia/foiastat.htm](http://www.usdoj.gov/04foia/foiastat.htm).

**Why do I need a valid e-mail address?**

We often have questions about aspects of the application that need to be clarified. These questions usually arise late in the application review process and require a rapid response. Valid e-mail addresses of persons who are knowledgeable about the application and can answer questions are essential. In addition, we no longer mail peer reviewer comments. We will send you instructions via e-mail on how to get access to reviewer comments on your application on-line.

**Are electronic application submissions required under this competition?**

Yes. As outlined in the Federal Register notice for this grant competition, applications must be submitted electronically. You must submit your application using the Grants.gov Apply site.

**What is the deadline date for transmittal of applications under this grant competition?**

March 22, 2006.

**May I get an extension of the deadline date?**

Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances. Under extraordinary circumstances the Department may change the closing date for a grant competition. When this occurs, the Department announces such a change in a notice published in the Federal Register.

**Who is eligible to apply?**

This grant competition is open to institutions of higher education that offer an associate or baccalaureate degree.

**My institution received an award as a model program several years ago. May I apply again this year?**

To be eligible, your institution must not have received an award under this competition (CFDA 84.184N) during the previous five fiscal years. That would include any competitions held in fiscal years 2001 through 2005.

**How long must programs have been implemented in order to be eligible?**

Programs must have been implemented for at least two full academic years. We are defining an academic year as the fall through spring semesters (or equivalent, for those institutions that are not on a semester system). Therefore, for the purposes of this competition, a program should have begun implementation no later than spring 2004.

**How much money is available under this grant competition?**

The Department expects to make available approximately \$750,000 for this program in fiscal year 2006.

**What are the program elements that applicants must address?**

A project funded under this absolute priority must include all of the following activities:

- (1) A description of an alcohol or other drug prevention program that has been implemented for at least two full academic years on the applicant's campus;
- (2) Evidence of the effectiveness of the program on the applicant's campus;
- (3) A plan to enhance and further evaluate the program during the project period; and
- (4) A plan to disseminate information to assist other IHEs in implementing a similar program.

**Does the applicant need to address all four elements of the absolute priority to be considered for this competition?**

Yes. Applicants that do not clearly address all four required elements of the absolute priority will be considered non-responsive to the absolute priority for this program.

**How many new awards will be made?**

It is estimated that 5 new awards will be made.

**What is the project and budget period for these grants?**

15 months.

**Do I need to submit a budget narrative for each year?**

The budget period will be one 15-month period. Please submit a budget narrative that reflects this one 15-month budget period. For additional guidance on preparing a budget narrative, please see [http://www.ed.gov/admins/grants/apply/techassist/resource\\_pg8.html](http://www.ed.gov/admins/grants/apply/techassist/resource_pg8.html).

**What is the average amount of each grant?**

Projects will be funded for approximately \$125,000 to \$175,000 depending on the scope of work. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

**Is there a matching requirement?**

No.

**Are there guidelines for how much money can be spent on consultants? What is the daily limit and is there a cap?**

There is no daily limit or cap for consultant fees. Information related to these fees should be included on ED Form 524 under the budget categories of "Contractual" or "Other." Applicants should be sure to fully substantiate all expenditures in the budget narrative. All costs must be necessary and reasonable and consistent with the purposes of the grant.

**When might a grant application that is submitted for funding under this competition be deemed ineligible for review?**

An application submitted for funding under this competition will be deemed ineligible for review if it does not meet all four elements of the absolute priority. Also, any IHE that has received funds under this grant competition (CFDA 84.184N) during the previous five fiscal years (fiscal years 2001 through 2005) is not an eligible applicant.

**Will all applicants receive a site visit as part of the review?**

No. Only high-scoring applicants will be selected for site visits. We expect to conduct site visits to high-scoring applicants in April 2006 and expect applicants selected for site visits to be available during that time.

**Who do I contact for more information about this grant competition?**

**Vera Messina**, Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E258, Washington, DC 20202-6450, Phone: (202) 260-8273, Fax: (202) 260-7767, E-mail: [vera.messina@ed.gov](mailto:vera.messina@ed.gov)

OR

**Ruth Tringo**, Education Program Specialist, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E338, Washington, DC 20202-6450, Phone: (202) 260-2838, Fax: (202) 260-7767, E-mail: [ruth.tringo@ed.gov](mailto:ruth.tringo@ed.gov)

## **X. APPENDICES AND FORMS**

- Authorizing Legislation – No Child Left Behind Act of 2001, Title IV – Section 4121
- Grant Application Receipt Acknowledgement, Grant and Contract Funding Information, D-U-N-S Number Instructions
- Application for Federal Assistance (SF 424)
- Department of Education Supplemental Information for SF 424
- Budget Information – Non-Construction Programs (ED Form 524)
- Disclosure of Lobbying Activities (Standard Form – LLL)
- Application Checklist

## Authorizing Legislation – No Child Left Behind Act of 2001

### Subpart 2-National Programs

#### SEC. 4121. FEDERAL ACTIVITIES.

(a) PROGRAM AUTHORIZED- From funds made available to carry out this subpart under section 4003(2), the Secretary, in consultation with the Secretary of Health and Human Services, the Director of the Office of National Drug Control Policy, and the Attorney General, shall carry out programs to prevent the illegal use of drugs and violence among, and promote safety and discipline for, students. The Secretary shall carry out such programs directly, or through grants, contracts, or cooperative agreements with public and private entities and individuals, or through agreements with other Federal agencies, and shall coordinate such programs with other appropriate Federal activities. Such programs may include —

- (1) the development and demonstration of innovative strategies for the training of school personnel, parents, and members of the community for drug and violence prevention activities based on State and local needs;
- (2) the development, demonstration, scientifically based evaluation, and dissemination of innovative and high quality drug and violence prevention programs and activities, based on State and local needs, which may include —
  - a. alternative education models, either established within a school or separate and apart from an existing school, that are designed to promote drug and violence prevention, reduce disruptive behavior, reduce the need for repeat suspensions and expulsions, enable students to meet challenging State academic standards, and enable students to return to the regular classroom as soon as possible;
  - b. community service and service-learning projects, designed to rebuild safe and healthy neighborhoods and increase students' sense of individual responsibility;
  - c. video-based projects developed by noncommercial telecommunications entities that provide young people with models for conflict resolution and responsible decisionmaking; and
  - d. child abuse education and prevention programs for elementary and secondary students;
- (3) the provision of information on drug abuse education and prevention to the Secretary of Health and Human Services for dissemination;
- (4) the provision of information on violence prevention and education and school safety to the Department of Justice for dissemination;
- (5) technical assistance to chief executive officers, State agencies, local educational agencies, and other recipients of funding under this part to build capacity to develop and implement high-quality, effective drug and violence prevention programs consistent with the principles of effectiveness in section 4115(a);
- (6) assistance to school systems that have particularly severe drug and violence problems, including hiring drug prevention and school safety coordinators, or assistance to support appropriate response efforts to crisis situations;
- (7) the development of education and training programs, curricula, instructional materials, and professional training and development for preventing and reducing the incidence of crimes and conflicts motivated by hate in localities most directly affected by hate crimes;
- (8) activities in communities designated as empowerment zones or enterprise communities that will connect schools to community-wide efforts to reduce drug and violence problems; and
- (9) other activities in accordance with the purpose of this part, based on State and local needs.

(b) PEER REVIEW- The Secretary shall use a peer review process in reviewing applications for funds under this section.



## **GRANT APPLICATION RECEIPT ACKNOWLEDGMENT**

If you fail to receive the notification of application receipt within 15 days from the closing date, call the U.S. Department of Education's Application Control Center at 202/708-9493.

## **GRANT AND CONTRACT FUNDING INFORMATION**

The Department of Education provides information about grant and contract opportunities electronically in several ways:

Department of Education Web site - <http://www.ed.gov>

Office of the Chief Financial Officer Web Page – <http://www.ed.gov/about/offices/list/ocfo>

## **D-U-N-S NUMBER INSTRUCTIONS**

All grant recipients must have a D-U-N-S Number, a unique nine digit identification code provided by Dun & Bradstreet. If you do not currently have a D-U-N-S Number, you may obtain one at no charge by calling the Dun & Bradstreet Federal Government D-U-N-S Number request line at 866-705-5711, or by visiting the following Web site on the Internet:

<https://eupdate.dnb.com/requestoptions/government/ddrreg>. **Please note that we cannot make a grant award without a D-U-N-S Number.**

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	<b>Type of Submission:</b> (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> <li>• Preapplication</li> <li>• Application</li> <li>• Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.</li> </ul>	10.	<b>Name Of Federal Agency:</b> (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	<b>Catalog Of Federal Domestic Assistance Number/Title:</b> Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	<b>Type of Application:</b> (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> <li>• New – An application that is being submitted to an agency for the first time.</li> <li>• Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.</li> <li>• Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> <li>A. Increase Award      B. Decrease Award</li> <li>C. Increase Duration    D. Decrease Duration</li> <li>E. Other (specify)</li> </ul> </li> </ul>	12.	<b>Funding Opportunity Number/Title:</b> (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	<b>Competition Identification Number/Title:</b> Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	<b>Areas Affected By Project:</b> List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	<b>Date Received:</b> Leave this field blank. This date will be assigned by the Federal agency.	15.	<b>Descriptive Title of Applicant's Project:</b> (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	<b>Applicant Identifier:</b> Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	<b>Federal Entity Identifier:</b> Enter the number assigned to your organization by the Federal Agency, if any.	16.	<b>Congressional Districts Of:</b> (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 <sup>th</sup> district, NC-103 for North Carolina's 103 <sup>rd</sup> district. <ul style="list-style-type: none"> <li>• If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland.</li> <li>• If nationwide, i.e. all districts within all states are affected, enter US-all.</li> <li>• If the program/project is outside the US, enter 00-000.</li> </ul>
5b.	<b>Federal Award Identifier:</b> For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	<b>Date Received by State:</b> Leave this field blank. This date will be assigned by the State, if applicable.		
7.	<b>State Application Identifier:</b> Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	<b>Applicant Information:</b> Enter the following in accordance with agency instructions:		
	<b>a. Legal Name:</b> (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.	17.	<b>Proposed Project Start and End Dates:</b> (Required) Enter the proposed start date and end date of the project.
	<b>b. Employer/Taxpayer Number (EIN/TIN):</b> (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	<b>Estimated Funding:</b> (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
	<b>c. Organizational DUNS:</b> (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		
	<b>d. Address:</b> Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).	19.	<b>Is Application Subject to Review by State Under Executive Order 12372 Process?</b> Applicants should contact the State

	<p><b>e. Organizational Unit:</b> Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p> <p><b>f. Name and contact information of person to be contacted on matters involving this application:</b> Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>		<p>Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
20.			<p><b>Is the Applicant Delinquent on any Federal Debt?</b> (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td data-bbox="110 667 454 1060"> <p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p> </td> <td data-bbox="462 667 808 1060"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>	21.	<p><b>Authorized Representative:</b> (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government</p> <p>B. County Government</p> <p>C. City or Township Government</p> <p>D. Special District Government</p> <p>E. Regional Organization</p> <p>F. U.S. Territory or Possession</p> <p>G. Independent School District</p> <p>H. Public/State Controlled Institution of Higher Education</p> <p>I. Indian/Native American Tribal Government (Federally Recognized)</p> <p>J. Indian/Native American Tribal Government (Other than Federally Recognized)</p> <p>K. Indian/Native American Tribally Designated Organization</p> <p>L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)</p> <p>O. Private Institution of Higher Education</p> <p>P. Individual</p> <p>Q. For-Profit Organization (Other than Small Business)</p> <p>R. Small Business</p> <p>S. Hispanic-serving Institution</p> <p>T. Historically Black Colleges and Universities (HBCUs)</p> <p>U. Tribally Controlled Colleges and Universities (TCCUs)</p> <p>V. Alaska Native and Native Hawaiian Serving Institutions</p> <p>W. Non-domestic (non-US) Entity</p> <p>X. Other (specify)</p>				

## INSTRUCTIONS FOR DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

**1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

**2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

**3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**If Not Human Subjects Research.** Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

**If Human Subjects Research.** Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

**3a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

**3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

**3a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12<sup>th</sup> Street, S.W. Room 7076, Washington, D.C. 20202-4260.

# DEFINITIONS FOR

## DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF 424

### (Attachment to Instructions for Supplemental Information for SF 424)

#### Definitions:

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

**A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.**

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview

procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population,

including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site:*

*<http://www.ed.gov/about/offices/list/OCFO/humansub.html>*

NOTE: The State Applicant Identifier on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

# Instructions for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

#### **Indirect Cost Information:**

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.

If applicable to this program, provide the rate and base on which fringe benefits are calculated.

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

Provide other explanations or comments you deem necessary.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0004**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503



## **2006 APPLICATION CHECKLIST – CFDA # 84.184N**

- ☐ **Part I: Application for Federal Education Assistance (Standard Form 424) and Preliminary Documents**
  - Submit the 424 Form, Application for Federal Assistance, CFDA No. 84.184N (Cover Sheet) and the ED Supplement to the SF 424 in Grants.gov
- ☐ **Part II: Project Abstract**
  - Abstract briefly describing proposed project (one-page, double-spaced, not numbered, applicant's name at the top of the page). Attach the abstract to the ED Abstract Form in the application package downloaded from Grants.gov.
- ☐ **Part III: Program Narrative**
  - Application Narrative (the equivalent of no more than 25 pages, double-spaced, 12-point font) addressing the Absolute Priority and the selection criteria. Attach the project narrative to the Project Narrative Attachment Form in the application package downloaded from Grants.gov. Also included in this section, but not subject to the 25-page limit, will be a table of contents.
- ☐ **Part IV: Budget and Budget Narrative**
  - Budget**
    - ED 524 Form Sections A and B. The following columns should be completed in Sections A and B: Amounts for each relevant line in column (a), "Project Year 1," including the total cost amounts in lines 9 and 12.
    - Amounts for each relevant line in column (f) "Total," including the total cost amounts in lines 9 and 12.
  - Budget Narrative (Explanation of proposed costs in narrative form in addition to the ED Form 524)**
    - The budget narrative meets the requirements of Form 524 Section C. Attach the Budget Narrative to the Budget Narrative Attachment Form in the application package downloaded from Grants.gov
- ☐ **Part V: Appendices**

Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:

  - Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
  - Letters of commitment that reflect each person's understanding of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
  - Relevant prior grant experience.

Attach the appendices referenced above to the "Other Attachments Form" in the application package downloaded from Grants.gov as either a .doc, .rtf or .pdf document.

☐ **Part VI: Assurances and Certifications (required)**

- SF 424B - Assurance - Non-construction Programs
- ED 80-0014 Form - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tiered Covered Transactions

Once all of the required information has been completed, applicants will be required to submit signed copies of those forms, assurances and certifications at a later date if selected for funding. Signed copies should be faxed to Vera Messina, U.S. Department of Education, FAX: (202) 205-5722.

Please check to make sure that you have done the following:

**Applicants submitting their applications electronically have completed all sections of the electronic application, including the budget materials and have completed all required information on the assurances and certifications except the signatures (you will be required to submit those at a later date if selected for funding).**

**Applications submitted through grants.gov must be date and time stamped before 4:30 pm Washington, D.C. time on the application deadline date. Applicants also must ensure that the application successfully validated in grants.gov. Log in to grants.gov to check your application status or contact the grants.gov help desk to ensure that your application has been validated.**